

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-102
 Name of Fund: Funds held outside the State Treasury by Time Warner
 Legal Authority: Decision & Order Nos. 154, 261 & 346, Section 5.1

Contact Name: Clyde Sonobe
 Phone: 586-8395
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. N/A

Intended Purpose:

Franchise fees paid by Oceanic Time Warner Cable to the DCCA, which are passed through to their subscribers.

Source of Revenues:

Franchise fees (HAR 16-132) paid by cable tv operators, which are passed through to cable tv subscribers.

Current Program Activities/Allowable Expenses:

Expenses related to expansion and upgrade of the Institutional Network ("INET") and any Broadband activity; limitation on use imposed by Department's Decision & Orders No. 261 and 346.

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

| Financial Data | | | | | | | |
|---------------------------|-------------|-----------|-----------|-------------|-------------|-------------|-------------|
| | CY 2008 | CY 2009 | CY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 2,400,000 * | 0 | 0 | 4,000,000 | 0 | 0 | 0 |
| Beginning Cash Balance | 2,498,751 | 1,247,458 | 2,938,555 | 4,874,555 | 2,774,555 | 4,674,555 | 6,574,555 |
| Revenues | 1,148,707 | 1,691,097 | 1,936,000 | 1,900,000 | 1,900,000 | 1,900,000 | 1,900,000 |
| Expenditures | 2,400,000 | 0 | 0 | 4,000,000 | 0 | 0 | 0 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | | | 0 | | | | |
| Ending Cash Balance | 1,247,458 | 2,938,555 | 4,874,555 | 2,774,555 | 4,674,555 | 6,574,555 | 8,474,555 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 1,247,458 | 2,938,555 | 4,874,555 | 2,774,555 | 4,674,555 | 6,574,555 | 8,474,555 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

* Appropriation ceiling for FY 2008.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-102
 Name of Fund: State Broadband Data and Development Grant Program
 Legal Authority: non-appropriated 1/, CFDA: 11.558 American Recovery and Reinvestment Act-SBDD-Hawaii Department of Commerce Affairs (Award no. 15-50-M09057)

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Federal Stimulus Funds (V)
 Appropriation Acct. No.: S-XX-201-R

Intended Purpose:

The grant is to develop an on-line database that can be used by consumers to identify the availability, speed, and location of broadband services throughout Hawaii.

Source of Revenues:

Federal grant from the U.S. Department of Commerce

Current Program Activities/Allowable Expenses:

The initial grant includes \$1,449,940 for broadband data collection and mapping activities over a two year period and \$500,000 for broadband planning activities. The overall award period is January 1, 2010 through December 31, 2011 for broadband mapping activities and January 1, 2010 through December 31, 2014 for broadband planning activities, if any.

Subsequently, additional federal funding in the amount of \$2,400,000 was approved to complete the project to map broadband availability for and engage in broadband planning activities for five years.

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Revenues | 0 | 0 | 0 | 1,250,000 | 1,249,940 | 1,000,000 | 850,000 |
| Expenditures | 0 | 0 | 0 | 1,250,000 | 1,249,940 | 1,000,000 | 850,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ending Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Encumbrances | | 0 | 0 | | | | |
| Unencumbered Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Governor's approval to apply and expend federal grant (federal stimulus funds) were secured on September 17, 2010 and October 18, 2010.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-102
 Name of Fund: Compliance Resolution Fund - Cable Television
 Legal Authority: Chapter 440G, HRS; Act 199, SLH 2010

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-302-R; S-11-311-R

Intended Purpose:

To foster the development of responsive and reliable cable communications services and advancement of Broadband services for the people of Hawaii, by promoting the public interest in authorizations by the State regarding cable franchises; regulate basic cable rates and service to ensure compliance with applicable State and Federal law; expand and operate the statewide Institutional Network; and continue the availability of public, education and government cable access.

Source of Revenues:

Franchise Fees (HAR 16-132) paid by cable tv operators, which are passed through to cable tv subscribers.

Current Program Activities/Allowable Expenses:

- Issues and enforces franchises for cable communications services.
- Promulgates and enforces rules and regulations governing the practices, procedures, quality and quantity of services including rates, and customer and technical operations of cable communications companies.
- Plans and encourages the development of new, improved and more effective utilization of cable communications services, equipment, and facilities including the State's Institutional Network (INET), and public, educational, and government (PEG) access resources and facilities, which will enhance communications services available to Hawaii's citizens.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Add temporary positions and increases the special fund ceiling for broadband services. (FY12: 3 temporary positions and \$500,000; FY13: 3 temporary positions and \$500,000)

| Financial Data | | | | | | | |
|------------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/, 2/ | 1,232,334 | 1,232,334 | 1,286,537 | 1,786,537 | 1,786,537 | 1,786,537 | 1,786,537 |
| Beginning Cash Balance | 2,482,717 | 1,528,157 | 1,781,874 | 2,271,178 | 2,467,359 | 2,199,897 | 2,028,336 |
| Revenues | 258,278 | 1,408,650 | 1,455,615 | 1,860,000 | 1,860,000 | 1,960,000 | 1,960,000 |
| Expenditures | 977,885 | 942,437 | 771,907 | 1,457,113 | 1,786,537 | 1,786,537 | 1,786,537 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (46,597) | | | | |
| JS2475 11/15/2009 | | | (46,597) | | | | |
| JS3616 1/27/2010 | | | (49,745) | | | | |
| JS5948 5/31/2010 | | | (51,465) | | | | |
| Net Total Transfers | (234,953) | (212,496) | (194,404) | (206,706) | (340,925) | (345,024) | (345,024) |
| Ending Cash Balance | 1,528,157 | 1,781,874 | 2,271,178 | 2,467,359 | 2,199,897 | 2,028,336 | 1,856,775 |
| Encumbrances | 570,561 | 451,779 | 203,825 | | | | |
| Unencumbered Cash Balance | 957,596 | 1,330,095 | 2,067,353 | 2,467,359 | 2,199,897 | 2,028,336 | 1,856,775 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY11 includes \$500,000 appropriated in Act 199, SLH 2010.

2/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-103
Name of Fund: CRF-PUC Spcl Fnd Allocation-Consumer Advocacy
Legal Authority: Section 269-33, HRS

Contact Name: Karen Lim
Phone: 586-2841
Fund type (MOF): Special Funds (B)
Appropriation Acct. No. S-XX-303-R, S-07-332-R,
S-08-334-R, S-08-335-R,
S-09-334-R, S-09-335-R,
S-11-308-R

Intended Purpose:

To fund the operations of the Division of Consumer Advocacy.

Source of Revenues:

Public utility fees paid to the public utilities commission pursuant to HRS §269-30, and placed in the public utilities commission special fund. Pursuant to HRS §269-33, on a quarterly basis, an amount is allocated in accordance with legislative appropriations to the DCA and deposited in the compliance resolution fund.

Current Program Activities/Allowable Expenses:

To represent, advance and protect the interests of consumers of regulated utility and transportation services. The division is a party to every proceeding before the Hawaii Public Utilities Commission. The division participates in, among other things, reviews of utility and transportation companies' requests to increase rates, service reliability investigations, energy utility integrated resource plans, and capital improvement projects for utilities. In addition, the division strives to promote effective competition and consumer protection through contested cases and rule making proceedings regarding telecommunications and electric power infrastructure development.

Purpose of Proposed Ceiling Increase (if applicable):

- Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:
- Adds/Restore eight permanent positions and special funds. (FY12: 8 permanent positions and \$634,268; FY13: 8 permanent positions and \$634,268)
- Increases special fund ceiling to cover estimated consultant services costs. (FY12: \$200,000; FY13: \$200,000)

| Financial Data | | | | | | | |
|----------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/2/ | 2,903,793 | 2,903,793 | 2,169,331 | 2,721,882 | 3,003,599 | 3,003,599 | 3,003,599 |
| Beginning Cash Balance | 4,126,615 | 4,849,729 | 3,789,782 | 3,572,073 | 2,157,695 | 1,669,518 | 1,174,450 |
| Revenues 3/ | 3,089,399 | 2,794,579 | 2,229,529 | 2,172,882 | 3,088,599 | 3,088,599 | 3,088,599 |
| Expenditures 4/ | 1,852,074 | 3,395,021 | 2,171,137 | 3,242,903 | 3,003,599 | 3,003,599 | 3,003,599 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (76,213) | | | | |
| JS2475 11/15/2009 | | | (76,213) | | | | |
| JS3616 1/27/2010 | | | (60,877) | | | | |
| JS5948 5/31/2010 | | | (62,798) | | | | |
| Net Total Transfers | (514,211) | (459,505) | (276,101) | (344,357) | (573,177) | (580,068) | (580,068) |
| Ending Cash Balance | 4,849,729 | 3,789,782 | 3,572,073 | 2,157,695 | 1,669,518 | 1,174,450 | 679,382 |
| Encumbrances | 1,199,286 | 1,577,515 | 838,021 | | | | |
| Unencumbered Cash Balance | 3,650,443 | 2,212,267 | 2,734,052 | 2,157,695 | 1,669,518 | 1,174,450 | 679,382 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Includes specific appropriation: 1) Act 68, SLH 2007 appropriated \$100,000 funds for FY07 that lapsed cob on June 30, 2008; 2) Act 183, SLH 2007 appropriated \$198,000 in FY08 and \$198,000 FY09; and 3) Act 130, SLH 2010 appropriates \$634,000 in FY11.

2/ Appropriation ceiling for FY12 and on reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

3/ Revenues for FY11 assumes that Gov's approval to expend funds for Act 130, SLH 2010 will be secured; (2) FY12 and outyears are based on the assumption the departmental FB 2011-2013 budget (on the Form B-1) submitted to B&F for executive decision is approved.

4/ Expenditures for FY09 includes \$1,300,000 to the general fund pursuant to Act 79, SLH 2009. Expenditures for FY11 includes estimated expenditures, \$317,000, for Act 130, SLH 2010.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-104
 Name of Fund: Mortgage Loan Recovery Fund
 Legal Authority: Section 3 of Act 84, SLH 2010

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-926-R

Intended Purpose:

Chapter 454F, HRS, as amended by Act 84, SLH 2010, established this fund to protect consumers harmed by persons that violate Chapter 454F, HRS.

Source of Revenues:

Fees for deposit into the fund: (1) mortgage loan originator companies, (2) branch offices of mortgage loan originator companies, and (3) mortgage loan originators.

Current Program Activities/Allowable Expenses:

Licenses and regulates mortgage loan originator companies and mortgage loan originators. The mortgage loan recovery fund was established to protect consumers by making it easier to recover losses caused by persons that violate Chapter 454F, HRS. Allowable expenses are the payment of claims and expenses related to the administration of the mortgage loan recovery fund.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Increases the trust fund ceiling. (FY12: \$110,000; FY13: \$110,000)

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling 1/ | 0 | 0 | 0 | 0 | 110,000 | 110,000 | 110,000 |
| Beginning Cash Balance | 0 | 0 | 0 | 0 | 500,000 | 650,750 | 781,500 |
| Revenues | 0 | 0 | 0 | 500,000 | 260,750 | 240,750 | 200,000 |
| Expenditures | 0 | 0 | 0 | 0 | 110,000 | 110,000 | 110,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ending Cash Balance | 0 | 0 | 0 | 500,000 | 650,750 | 781,500 | 871,500 |
| Encumbrances | 0 | 0 | 0 | | | | |
| Unencumbered Cash Balance | 0 | 0 | 0 | 500,000 | 650,750 | 781,500 | 871,500 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-104
 Name of Fund: CRF- Financial Institutions
 Legal Authority: Sections 412:2-109, 449-14, 489D-12.5, 454F-18, 454M-11, and 26-9(o), HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-320-R, S-XX-326-R

Intended Purpose:

To allow the Commissioner to appoint financial institutions examiners to examine the affairs of financial institutions, to appoint any necessary administrative support personnel, and to pay for any expenses incurred during examinations or necessary for the education and training of personnel and other expenses related to examinations and administrative costs as well as to support the entire program of the Division of Financial Institutions (DFI).

Source of Revenues:

Transfer of \$2 million from taxes paid by banks and other financial corporations (HRS 241-7); and application, examination, licensing, and other fees and fines paid by financial institutions, escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

Current Program Activities/Allowable Expenses:

Ensures the safety and soundness of state-chartered financial institutions by fairly administering applicable statutes and rules through a program of supervision and regulation through chartering or licensure, examination, application review, off-site monitoring, and complaint handling and is also responsible for the licensing and supervision of escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Adds permanent positions and increases the ceiling to continue the staffing and resources necessary to implement the licensing of mortgage loan originators and mortgage loan originator companies. (FY12: 4 permanent position and \$422,967; FY13: 4 permanent positions and \$420,881)

| Financial Data | | | | | | | |
|------------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/, 2/ | 2,578,281 | 2,813,840 | 3,123,439 | 3,686,507 | 3,387,006 | 3,384,920 | 3,384,920 |
| Beginning Cash Balance | 4,301,347 | 4,332,594 | 3,950,093 | 4,213,855 | 2,622,494 | 1,782,371 | 901,030 |
| Revenues | 2,620,852 | 2,599,918 | 2,822,798 | 2,648,460 | 3,193,225 | 3,157,290 | 3,130,000 |
| Expenditures | 2,075,918 | 2,461,174 | 2,158,001 | 3,646,245 | 3,387,006 | 3,384,920 | 3,384,920 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (101,419) | | | | |
| JS2475 11/15/2009 | | | (101,419) | | | | |
| JS3616 1/27/2010 | | | (97,650) | | | | |
| JS5948 5/31/2010 | | | (100,547) | | | | |
| Net Total Transfers | (513,687) | (521,245) | (401,035) | (593,576) | (646,342) | (653,711) | (653,711) |
| Ending Cash Balance | 4,332,594 | 3,950,093 | 4,213,855 | 2,622,494 | 1,782,371 | 901,030 | (7,601) |
| Encumbrances | 62,718 | 22,106 | 47,315 | | | | |
| Unencumbered Cash Balance | 4,269,876 | 3,927,987 | 4,166,540 | 2,622,494 | 1,782,371 | 901,030 | (7,601) |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Includes specific appropriations: (1) Act 32, 1st SSLH 2009 appropriated \$159,000 for FY10, (2) Act 84, SLH 20109 appropriates \$807,077 for FY11.

2/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Compliance Resolution Fund - PVL
 Legal Authority: Section 26-9, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No. S-XX-305-R, S-08-325-R,
S-09-325-R, S-10-324-R

Intended Purpose:

To fund the operations of the Professional and Vocational Licensing Division.

Source of Revenues:

Application, license, and renewal fees.

Current Program Activities/Allowable Expenses:

For 47 regulated areas - process applications for licensure, examine applicants, license, renew, update licensee files, provide information and guidance to the public, applicants and licensees regarding regulatory areas orally and in writing, assist with or adopt or amend rules, propose and react to legislative measures, liaison between 25 regulatory boards and DCCA, conduct public meetings, public hearings, produce minutes, facilitate decision-making by the boards in ordering disciplinary action against a licensee and granting, denying or otherwise conditioning license applications, network with outside entities for coordinated activities and keeping abreast of current trends, network with other State agencies for compliance (legislative auditor, ethics commission, procurement office).

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Adds temporary positions and increases the special fund ceiling for the licensing and regulation of the new Respiratory Therapist program. (FY12: 2 temporary positions and \$102,744, FY13: 2 temporary positions and \$102,744).

| Financial Data | | | | | | | |
|------------------------------|-------------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/, 2/ | 5,461,120 | 5,278,120 | 5,500,195 | 5,180,504 | 5,573,217 | 5,573,217 | 5,573,217 |
| Beginning Cash Balance | 7,040,978 | 6,618,380 | 6,123,833 | 5,617,423 | 4,355,520 | 2,864,266 | 1,161,725 |
| Revenues | 5,024,023 | 5,022,965 | 4,542,230 | 4,865,000 | 5,145,500 | 4,947,000 | 5,118,000 |
| Expenditures | 4,401,865 | 4,593,683 | 4,292,723 | 5,276,420 | 5,573,217 | 5,573,217 | 5,573,217 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (185,634) | | | | |
| JS2475 11/15/2009 | | | (185,634) | | | | |
| JS3616 1/27/2010 | | | (192,083) | | | | |
| JS5948 5/31/2010 | | | (192,566) | | | | |
| Net Total Transfers | (1,044,756) | (923,829) | (755,917) | (850,483) | (1,063,537) | (1,076,324) | (1,076,324) |
| Ending Cash Balance | 6,618,380 | 6,123,833 | 5,617,423 | 4,355,520 | 2,864,266 | 1,161,725 | (369,816) |
| Encumbrances | 215,678 | 165,470 | 95,916 | | | | |
| Unencumbered Cash Balance | 6,402,702 | 5,958,363 | 5,521,507 | 4,355,520 | 2,864,266 | 1,161,725 | (369,816) |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Includes specific appropriations: (1) Act 279, SLH 2007 appropriated \$130,000 for FY08 and \$205,000 for FY09 for the mixed martial arts program, and (2) Act 18, SpSLH 2009 appropriated \$5,000 for FY10 for statewide physician workforce assessment and planning.

2/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Real Estate Recovery Fund
 Legal Authority: Sections 467-16-19, 21-24, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-904-R

Intended Purpose:

As stated in §467-16(a), HRS, the Real Estate Recovery Trust Fund is intended to provide recovery to persons "aggrieved by an act, representation, transaction, or conduct of a duly licensed real estate broker, or real estate salesperson, upon the grounds of fraud, misrepresentation, or deceit". The statute establishes limits of \$25,000 per transaction and \$50,000 per licensee.

Source of Revenues:

Original real estate license fees.

Current Program Activities/Allowable Expenses:

See attached.

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling | 498,381 | 498,381 | 502,310 | 502,310 | 502,310 | 502,310 | 502,310 |
| Beginning Cash Balance | 838,455 | 861,351 | 842,808 | 846,256 | 830,424 | 814,592 | 798,760 |
| Revenues | 96,260 | 62,350 | 53,315 | 52,870 | 52,870 | 52,870 | 52,870 |
| Expenditures | 73,364 | 80,893 | 49,867 | 68,702 | 68,702 | 68,702 | 68,702 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ending Cash Balance | 861,351 | 842,808 | 846,256 | 830,424 | 814,592 | 798,760 | 782,928 |
| Encumbrances | 1,011 | 0 | 0 | 0 | 0 | 0 | 0 |
| Unencumbered Cash Balance | 860,340 | 842,808 | 846,256 | 830,424 | 814,592 | 798,760 | 782,928 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Real Estate Recovery Fund
Page 2

Current Program Activities/Allowable Expenses:

- Defend and administer claims through contracted attorneys who represent the Commission in actions for claims, including administering contracts and payment for services.
- Provide information, advice, and referral on all inquiries concerning the Real Estate Recovery Trust Fund and claims.
- Receive, process, and act on complaint notices, court filed motions, subpoenas, settlement claims, and court ordered claims including record keeping and monitoring the complaints through the courts.
- Arrange and assist in presentation of settlement claims, court ordered claims, and other issues to the Commission at its monthly scheduled meetings or emergency meetings.
- Administer budget, including development and approval of biennium budget, record keeping, any CPA audit, investment of funds, development of statistical and other periodic reports to licensees, Budget and Finance, Governor, and the Legislature.
- Study and develop case summaries for educational purposes.
- Initiate and develop collection program, continue to administer the State Tax Intercept Program with the Department of Taxation and DAGS.
- Research, develop, print, and distribute a simple plain language brochure for claimants.
- Provide funding for clerical position, who services the program.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Real Estate Education Fund
 Legal Authority: Sections 467-11-19, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-905-R

Intended Purpose:

See attached.

Source of Revenues:

Original licensing and biennial renewals fees. Registration of schools, providers, courses and instructors. Interest due from the real estate recovery fund.

Current Program Activities/Allowable Expenses:

See attached.

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 666,325 | 666,325 | 689,052 | 665,162 | 689,052 | 689,052 | 689,052 |
| Beginning Cash Balance | 1,642,460 | 1,289,036 | 1,554,757 | 1,259,598 | 634,436 | 296,315 | 660,465 |
| Revenues | 169,071 | 734,683 | 70,136 | 40,000 | 127,729 | 830,000 | 127,729 |
| Expenditures | 522,495 | 468,962 | 365,295 | 665,162 | 465,850 | 465,850 | 465,850 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | | | | | |
| Ending Cash Balance | 1,289,036 | 1,554,757 | 1,259,598 | 634,436 | 296,315 | 660,465 | 322,344 |
| Encumbrances | 68,544 | 65,027 | 21,222 | | | | |
| Unencumbered Cash Balance | 1,220,492 | 1,489,730 | 1,238,376 | 634,436 | 296,315 | 660,465 | 322,344 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Real Estate Education Fund
Page 2

Intended Purpose:

As stated in §467-19(b), HRS, the Real Estate Education Trust Fund is intended to "promote the advancement of education and research in the field of real estate for the benefit of the public and those licensed under the provisions of this chapter and the improvement and more efficient administration of the real estate industry."

Current Program Activities/Allowable Expenses:

Funding of Exempt Positions

- Provide funding for Real Estate Specialists and clerical positions, who administer the programs below.

Information, Advice and Referral

- Respond to inquiries from the public, consumers, real estate licensees, government officials, attorneys, educators, and others via telephone, office walk-ins, written inquiries and applications, and website, providing information, advice and referral.
- Administer real estate website.
- Administer and provide information as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials, and reference materials for public review.
- Arrange and conduct Real Estate Specialists of the Day at neighbor island sites.

Educational and Informational Materials

- Research, develop, publish and distribute the quarterly real estate bulletin to all real estate licensees, government officials, State Libraries, and others in related areas.
- Printing and distribution of Chapter 467, HRS, as amended to all principal brokers and brokers-in-charge.
- School Files, a quarterly bulletin to real estate prelicense schools, prelicense and continuing education instructors and continuing education providers which provides current information on instruction, education, curriculum, testing, application fees and procedures.
- Various publications and informational sheets for consumers and real estate licensees.
- Research, develop and submit articles for the media.
- Research and report on alternative delivery of educational materials.
- Develop and maintain website on the internet for dissemination of information, publications, forms, agendas, etc. to licensees and the general public.
- Distribute new salesperson and broker start-up kits, consisting of information and educational materials.

Administer Education Review Committee, Laws and Rules Review Committee and Real Estate Commission

- Hold monthly meetings for the two standing committees and the Commission with some meetings at neighbor island sites.
- Administration of the committee meetings, including agenda, distribution materials, room and equipment arrangements, oral testifiers, minutes, committee reports, post-meeting responsibilities, etc.
- Conduct and administer periodic symposiums.
- Administration of Education Evaluation Task Force Subcommittee.

Research, develop or update curriculum and instructional materials for courses and administer courses

- Continuing education core course.
- Prelicensing real estate broker course.
- Prelicensing real estate salesperson course.

Research, develop and conduct seminars, workshops and meetings

- Instructor development workshops, course briefings and other meetings for real estate educators.
- Real estate seminars for real estate licensees.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Condominium Education Trust Fund
 Legal Authority: Sections 514A-40(c), 514B-71, 72, 73 HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-906-R

Intended Purpose:

See attached.

Source of Revenues:

Developers' final public report fees, association of unit owners registration and biennial re-registration fees.

Current Program Activities/Allowable Expenses:

See attached.

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008* | FY 2009* | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 640,981 | 613,404 | 640,981 | 640,981 | 640,981 |
| Beginning Cash Balance | 0 | 0 | 0 | 505,701 | 402,723 | 17,946 | 62,544 |
| Revenues | 0 | 0 | 72,678 | 538,003 | 102,734 | 532,109 | 102,734 |
| Expenditures | 0 | 0 | 366,289 | 640,981 | 487,511 | 487,511 | 487,511 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JT0035 7/10/2009 | | | 400,000 | | | | |
| JT0111 7/29/2009 | | | 150,000 | | | | |
| JT0266 8/31/2009 | | | 242,637 | | | | |
| JM4017 3/04/2010 | | | 350 | | | | |
| JT0929 3/31/2010 | | | 6,325 | | | | |
| Net Total Transfers | 0 | 0 | 799,312 | | | | |
| Ending Cash Balance | 0 | 0 | 505,701 | 402,723 | 17,946 | 62,544 | (322,233) |
| Encumbrances | | 0 | 15,389 | | | | |
| Unencumbered Cash Balance | 0 | 0 | 490,312 | 402,723 | 17,946 | 62,544 | (322,233) |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

* Act 129, SLH 2009 merges the condominium management education fund (CMEF) into the condominium education trust fund (CETF) by repealing the CMEF, transferring all unexpended & unencumbered balances remaining in the CMEF to the credit of the CETF. As such, please refer to the Report on Non-General Fund for CMEF (appropriation symbol T918R) for data on FY07 to FY09.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Condominium Education Trust Fund
Page 2

Intended Purpose:

514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management, condominium registration, and real estate for the benefit of the public and those required to be registered under this chapter; (2) The improvement and more efficient administration of condominium associations; and (3) Expedient and inexpensive procedures for resolving condominium association disputes."

Current Program Activities/Allowable Expenses:

Funding of Exempt Positions

- Provide funding for Condominium Specialists and clerical positions, who service the programs below.

Information, Advice and Referral

- Respond to inquiries from the public, consumers, condominium owners, board of directors, condominium managing agents, real estate licensees, attorneys, educators, government officials and others via telephone, office walk-ins, seminars, speakerships written inquiries and applications and the website relating to §§514B and 514A.
- Administer condominium website.
- Administer condominium reference library program through State Libraries, other venues and in-house, providing publications and information to condominium owners and the public.
- Administer and provide information, as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials and reference materials for public review.
- Arrange and conduct Condominium Specialists of the Day at various neighbor island sites.
- Study the feasibility of finding other means of providing access to condominium public information through computer discs or compact discs, State Libraries, webpage, etc.
- Coordinate educational sessions regarding §§514A and 514B and updates.

Educational Research and Informational Materials

- Research, develop, publish and distribute quarterly condominium bulletin to registered condominium associations and condominium managing agents, government officials, State Libraries and others in related areas.
- Research, develop, publish and distribute stand-alone chapters (brochures) for the Condominium Board of Directors Guide to registered condominium associations, condominium managing agents, government officials, State Libraries and others in related areas.
- Print and distribute information and educational materials including start-up kits to new condominium associations and new condominium managing agents.
- Research, develop and submit various articles for media publication.
- Develop and maintain website on the internet for dissemination of information, forms, publications, etc. for developers, associations, CMA's, condominium owners, and other interested parties.
- Print and distribute amended Chapters 514A and 514B to all registered condominium associations and condominium managing agents.
- Update, print and distribute updated Condominium Board of Directors series.
- Continue with the recodification of the condominium law educational efforts.

Report on Non-General Fund Information

for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Condominium Education Trust Fund

Page 3

Rulemaking

- Research, develop and initiate Chapter 107, HAR rulemaking for Chapters 514A and 514B, HRS, including public workshops with those affected.
- Research, present, and receive recommendations for amendments to Chapter 107, HAR, and discuss and receive comments at the monthly Condominium Review Committee meetings with the condominium community.
- Research, study, and make recommendations concerning fees for Chapter 53, HAR, and assist the Professional and Vocational Licensing Division in the rulemaking process.

Mediation of Governance and Management Problems

- Administer contracts and provide funding for alternative dispute resolution through mediation, through the procured mediation providers for all islands.
- Secure mediation information and develop report to the Legislature and Governor.
- Continue to seek other mediation service vendors.
- Coordinate and administer joint complaint/mediation program with the Regulated Industries Complaints Office including funding of mediations.
- Research, development, publication, and distribution of brochure on dispute resolution alternatives.
- Where requested by the Office of Administrative Hearing, support the Condominium Dispute Resolution Program which is to be sunsetted June 30, 2009.

Arbitration of Condominium Problems

- Administer program through American Arbitration Association and other arbitration organizations.

Condominium Project Registration and Public Reports

- Administer registration of new condominium projects, review of documents, owner-occupants reservation procedures, and public reports, including records management.
- Administer consultant contracts and the review of project documents and public reports.
- Administer public review of condominium project documents and public reports, including requests for copies.
- Conduct periodic meetings and workshops with the condominium consultants, developers and attorneys.

Administer Condominium Review Committee

- Administer and conduct monthly meetings of the Condominium Review Committee, standing committee of the Commission, including meetings at various neighbor island sites.
- Administration includes agenda, distribution of materials, room and equipment arrangements, receipt of testimony, minutes, Committee Reports, post-meeting responsibilities.
- Conduct and administer periodic educational symposiums.

Administer Seminars, Workshops and Meetings

- Research, develop, procure, contract and conduct condominium seminars, workshops and special meetings with those in the condominium community.
- Administer seminar subsidy program, including contract administration.

Report on Non-General Fund Information

for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Condominium Education Trust Fund

Page 4

Interactive Educational and Research Participation

- Provide Educational speakers to organizations, government entities and others.
- Participate, exchange and network with local, state, national and international organizations and other governmental entities.
- Provide briefings to Legislators, testify on legislative bills and participate in other legislative matters.
- Research and report to the Legislature annually on condominium programs, budget and mediation programs.
- Research, coordinate, and implement Recodification Plan for Chapter 514A, HRS.

Administration of Condominium Association, Condominium Managing Agent Registrations, and Condominium Hotel Operators

- Administer registration and biennial re-registration of condominium associations, condominium managing agents and condominium hotel operators, including applications, review/approval process and records management.
- Conduct periodic workshops and meetings with registrants.

Administration of Budget and Biennial Plans

- Development and approval of the Condominium Education Trust Fund budget.
- Administration of budget, investment of funds and any CPA audits.
- Research, development and submission of information and reports required by the Department, Budget and Finance, Governor and the Legislature.
- Research, development, approval and administration of the Biennial Education and Research Plan.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Contractors Recovery Fund
 Legal Authority: Section 444-26, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-908-R

Intended Purpose:

Provide fund from which a person injured by an act, representation, transaction, or conduct of a duly licensed contractor may recover by an order of the court, an amount of not more than \$12,500 per contract and \$25,000 per contractor.

Source of Revenues:

All new contracting entity licensees (firms/sole proprietors) shall pay \$150 into the fund upon initial licensure and \$10 upon each license renewal. At any time the fund balance falls below \$250,000 the Contractors License Board may assess every contractor a fee not to exceed \$500 annually for deposit into the fund.

Current Program Activities/Allowable Expenses:

Allowable expenses include payments to eligible consumers who have obtained an arbitrated award or court judgment against a contractor, and payment of attorney - consultant fees.

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 |
| Beginning Cash Balance | 746,279 | 770,096 | 827,468 | 802,800 | 802,800 | 702,800 | 702,800 |
| Revenues | 115,125 | 177,659 | 88,450 | 200,000 | 100,000 | 200,000 | 100,000 |
| Expenditures | 91,308 | 120,287 | 113,118 | 200,000 | 200,000 | 200,000 | 200,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 770,096 | 827,468 | 802,800 | 802,800 | 702,800 | 702,800 | 602,800 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 770,096 | 827,468 | 802,800 | 802,800 | 702,800 | 702,800 | 602,800 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Contractors Education Fund
 Legal Authority: Section 444-29, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-909-R

Intended Purpose:

To be used for consumers, licensees, Contractors License Board members and staff; to be used for publications, media exposure, participation in national association meetings, classes and other educational purpose the Board deems necessary.

Source of Revenues:

The interest from the investments for the contractors recovery fund shall be deposited to the credit of the contractors education fund. In addition, all new contracting entity licensees (firms/sole proprietors) shall pay \$10 into the fund upon initial licensure and \$5 upon each license renewal.

Current Program Activities/Allowable Expenses:

Funded activities include: National Association dues; attendance by Executive Officer and Board members at national association meetings; registration fees for attendance at national meetings; travel expense for neighbor island Board members to attend special Board meetings on Oahu; publication of educational materials; and overtime pay for clerical staff as needed.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 16,968 | 16,968 | 16,968 | 16,968 | 16,968 | 16,968 | 16,968 |
| Beginning Cash Balance | 261,128 | 311,264 | 363,151 | 374,307 | 437,339 | 470,371 | 533,403 |
| Revenues | 56,150 | 59,211 | 20,112 | 80,000 | 50,000 | 80,000 | 50,000 |
| Expenditures | 6,014 | 7,324 | 8,956 | 16,968 | 16,968 | 16,968 | 16,968 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | | | | | |
| Ending Cash Balance | 311,264 | 363,151 | 374,307 | 437,339 | 470,371 | 533,403 | 566,435 |
| Encumbrances | 0 | 0 | | | | | |
| Unencumbered Cash Balance | 311,264 | 363,151 | 374,307 | 437,339 | 470,371 | 533,403 | 566,435 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Travel Agency Recovery Fund
 Legal Authority: Chapter 468K, HRS; Act 285, SLH 1991, repealed Act 468K (see below *)

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-910-R

Intended Purpose:
See attached.

Source of Revenues:

When the travel agency recovery fund program was established, each licensee made a mandatory contribution which was non-refundable: \$50 for each travel agency licensee, and \$25 for each travel agency sales representative. If at any time the money deposited in the travel agency recovery fund was insufficient to satisfy any duly authorized claim or portion thereof, the licensees could be charged an additional fee to return the travel agency recovery fund to an appropriate amount needed to satisfy any and all claims.

Current Program Activities/Allowable Expenses:
See attached.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable.

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 22 | 22 | 22 | 22 | 22 | 22 | 22 |
| Revenues | | | | | | | |
| Expenditures | | | | | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 22 | 22 | 22 | 22 | 22 | 22 | 22 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 22 | 22 | 22 | 22 | 22 | 22 | 22 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

*Act 285, SLH 1991, repealed Chapter 468K; however, moneys remaining in the recovery fund were held for disbursement to claimants until the fund is exhausted.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Travel Agency Recovery Fund
Page 2

Intended Purpose:

§468K-3 Travel Agency Recovery Fund; use of funds; fees. There shall be established and maintained a Travel Agency Recovery Fund from which any person aggrieved by an act, omission of material fact, representation, transaction, or conduct of a licensee, that is in violation of this chapter or its adopted rules, or which constitutes an unfair or deceptive act or practice in violation of section 480-2, may recover, by order of a court of competent jurisdiction within the State, an amount of not more than \$8,000 for damages sustained as a result of the act, representation, transaction, or conduct of each licensee. Recovery from the fund shall be limited to the actual damages suffered by the claimant, including court costs and fees as set by law, and reasonable attorneys' fees as determined by the court.

Current Program Activities/Allowable Expenses:

Act 285, SLH 1991, limited access to the fund to claims arising from travel services purchased prior to October 1, 1991. All funds remaining in the travel agency recovery fund after the resolution of all civil proceedings commenced prior to October 1, 1993, if any, shall become part of the compliance resolution fund for use in travel agency-related cases. As there have been no disbursements from the fund for some time, we are awaiting official notification from our attorney for the Travel Agency Recovery fund that there are no active cases that may result in payment from the recovery fund. With such confirmation we will proceed to implement other provisions of the Act.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Travel Agency Education Fund
 Legal Authority: Chapter 468K, HRS; Act 285, SLH 1991 released Act 268K, Act 41, SLH 1994

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-911-R

Intended Purpose:

The department shall use the amounts available in the Education Fund to alert all current licensees under chapter 468K, Hawaii Revised Statutes, to the requirements of Act 396, SLH 1991 and to inform the public about the rights and remedies provided in Act 285, SLH 1991. The fund may also be used to pay for any claim or expense of the Recovery Fund in the event the Recovery Fund becomes exhausted. Any amount that remains after payment of educational expenses or for recovery fund claims and expenses shall become part of the Compliance Resolution Fund for use in travel agency related cases.

Source of Revenues:

The Travel Agency Education Fund will generate its funds from any funds remaining in the Travel Agency Recovery Fund after all claims have been settled.

Current Program Activities/Allowable Expenses:

Funds remaining in the Travel Agency Education Fund are being held in case disbursements are needed for travel agency-related case claimants against the Travel Agency Recovery Fund. As there have been no disbursements from the fund for some time, we are awaiting official notification from our attorney for the fund that there are no active cases that may result in payment from the fund. With such confirmation we will proceed to implement other provisions of the Act.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 7,000 | 7,000 | 7,000 | 7,000 | 7,000 | 7,000 | 7,000 |
| Beginning Cash Balance | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 |
| Revenues | | | | | | | |
| Expenditures | | | | | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 | 21,449 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Condominium Management Education Fund
 Legal Authority: Sections 514A-40(c) HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-918-R

Intended Purpose:

See attached.

Source of Revenues:

Developers' final public report fees, association of apartment owners registration and biennial re-registration fees.

Current Program Activities/Allowable Expenses:

See attached.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-----------|----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 556,438 | 644,263 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 1,014,825 | 724,171 | 808,330 | 0 | 0 | 0 | 0 |
| Revenues | 130,272 | 532,807 | | 0 | 0 | 0 | 0 |
| Expenditures | 420,926 | 448,648 | 8,217 | 0 | 0 | 0 | 0 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JT0035 7/10/2009 | | | (400,000) | | | | |
| JT0111 7/29/2009 | | | (150,000) | | | | |
| JT0266 8/31/2009 | | | (242,638) | | | | |
| JM4017 3/04/2010 | | | (350) | | | | |
| JT0929 3/31/2010 | | | (6,325) | | | | |
| Net Total Transfers | 0 | 0 | (799,313) | | | | |
| Ending Cash Balance | 724,171 | 808,330 | 800 | 0 | 0 | 0 | 0 |
| Encumbrances | 18,819 | 15,808 | | 0 | 0 | 0 | 0 |
| Unencumbered Cash Balance | 705,352 | 792,522 | 800 | 0 | 0 | 0 | 0 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Condominium Management Education Fund

Page 2

ACT 129 , SLH 2009 – Merges the condominium management education fund (CMEF) into the condominium education trust fund (CETF) by repealing the CMEF, transferring all unexpended & uncumbered balances remaining in the CMEF to the credit of the CETF.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Real Estate Appraisers
 Legal Authority: Chapter 466K, HRS; Title 16, Chapter 114, HAR

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No.: T-XX-919-R

Intended Purpose:
See attached.

Source of Revenues:

Currently, the Federal Financial Institutions Examination Council ("FFIEC") mandates that each state collect a \$25 annual fee from each licensed and certified real estate appraiser to maintain the federal national registry. Appraisers must be on the national registry to perform appraisals in connection with federally related real estate transactions. However, effective January 1, 2012, the FFIEC mandates that the annual fee will be raised to \$40. Any real estate appraiser issued a credential or a current credential holder renewing after January 1, 2012 will be required to pay the new annual fee.

Current Program Activities/Allowable Expenses:
See attached.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Increase ceiling in FY12 for federal registry fee. (FY12: \$25,000).

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/ | 5,000 | 5,000 | 25,000 | 5,000 | 30,000 | 5,000 | 5,000 |
| Beginning Cash Balance | 5,205 | 5,200 | 5,525 | 5,425 | 5,425 | 5,425 | 5,425 |
| Revenues | 25,620 | 1,300 | 24,750 | 1,500 | 28,000 | 2,000 | 40,000 |
| Expenditures | 25,625 | 975 | 24,850 | 1,500 | 28,000 | 2,000 | 40,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 5,200 | 5,525 | 5,425 | 5,425 | 5,425 | 5,425 | 5,425 |
| Encumbrances | | | 150 | | | | |
| Unencumbered Cash Balance | 5,200 | 5,525 | 5,275 | 5,425 | 5,425 | 5,425 | 5,425 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Real Estate Appraisers
Page 2

Intended Purpose:

The Legislature finds that the regulation of real estate appraisers is reasonably necessary to protect consumers. The Legislature further finds that 12 United States Code §3301 et seq. requires that real estate appraisals utilized in connection with federally related transactions be performed by individuals who are licensed or certified appraisers. The purposes of this chapter (466K, HRS) are to implement the requirements of 12 United States Code Sec §3301 et seq. and to require that all real estate appraisals be performed by licensed or certified appraisers. The requirements of this chapter do not apply to any real estate appraiser employed by any county for purposes of valuing real property for ad valorem taxation.

Current Program Activities/Allowable Expenses:

In addition to any other powers and duties authorized by law, the director shall have the following powers and duties:

1. To grant permission to practice as a certified real estate appraiser in this State pursuant to this chapter and 12 United States Code §3301 et seq. and the rules and regulations adopted pursuant thereto;
2. To adopt, amend, or repeal rules as the director finds necessary to effectuate fully this chapter and 12 United States Code §3301 et seq.;
3. To enforce this chapter and 12 United States Code §3301 et seq. and rules and regulations adopted pursuant thereto;
4. To discipline a certified real estate appraiser for any cause prescribed by this chapter or 12 United States Code §3301 et seq. for any violation of the rules and regulations and refuse to grant a person permission to practice as a certified real estate appraiser for any cause that would be grounds for disciplining a certified real estate appraiser;
5. To act as the designated representative of this State to implement 12 United States Code §3301 et seq.; and
6. To appoint an advisory committee to assist with the implementation of this chapter and 12 United States Code §3301 et seq. and the rules and regulations adopted pursuant thereto.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Driver Education Fund
 Legal Authority: Section 431:10C-115, HRS; Section 431:10G-107, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-309-R

Intended Purpose:

Provide drivers training and education.

Source of Revenues:

An annual fee paid by insurers and self-insurers for each vehicle, motorcycle and motor scooter insured.

Current Program Activities/Allowable Expenses:

All collected revenues disbursed to the Judiciary, Department of Education (DOE), and Department of Transportation (DOT). Judiciary's funds are expended for the operation of the drivers' education program. DOE's funds support drivers' education for high school students. The DOT uses its funds for the operation of a drivers' education program for operators of motorcycles, motor scooters or similar vehicles.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Increase special fund ceiling. (FY12: \$340,000; FY13: \$340,000)

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/ | 2,560,000 | 2,560,000 | 2,560,000 | 2,560,000 | 2,900,000 | 2,900,000 | 2,900,000 |
| Beginning Cash Balance | 150,243 | 587,689 | 892,398 | 1,137,974 | 1,387,974 | 1,297,974 | 1,207,974 |
| Revenues | 2,834,870 | 2,864,709 | 2,805,576 | 2,810,000 | 2,810,000 | 2,810,000 | 2,810,000 |
| Expenditures | 2,397,424 | 2,560,000 | 2,560,000 | 2,560,000 | 2,900,000 | 2,900,000 | 2,900,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | | | | | |
| Ending Cash Balance 1/ | 587,689 | 892,398 | 1,137,974 | 1,387,974 | 1,297,974 | 1,207,974 | 1,117,974 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 587,689 | 892,398 | 1,137,974 | 1,387,974 | 1,297,974 | 1,207,974 | 1,117,974 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY12 and on reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

2/ Act 192, SLH 2010 authorized the Director of Finance to transfer \$1.4M or so much thereof as may be necessary for FY11. As of 11/1/2010 the department has not received instructions from B&F regarding Act 192, SLH 2010. As such, the FY11 ending cash balance does NOT reflect the \$1.4M transfer to the general fund.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Compliance Resolution Fund - Insurance Regulation Fund
 Legal Authority: Sections 431:2-215 & 431:2-216, HRS; Act 1, 2005 Special Session

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-313-R, S-05-329-R, S-08-336-R, S-09-336-R

Intended Purpose:

The fund permits the Insurance Division to become self-sufficient and eliminates reliance on general funds and revolving funds administered by the Division.

Source of Revenues:

Fees, fines, penalties, assessments, and reimbursements collected under Title 24, Hawaii Revised Statutes.

Current Program Activities/Allowable Expenses:

Used to defray any administrative cost, including personnel cost, associated with all of the programs of the Insurance Division, and incurred by supporting offices and divisions.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B) submitted to B&F for executive decision:

- Trade-Off (transfer-in) 1 temporary position count and special fund ceiling from CCA 191/AA for an actuary position. (FY12: 1 temporary position count and \$64,697; FY13: 1 temporary position and \$64,697)

| Financial Data | | | | | | | |
|---------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/ | 7,687,588 | 8,849,588 | 8,882,578 | 8,459,454 | 8,947,275 | 8,947,275 | 8,947,275 |
| Beginning Cash Balance | 5,089,669 | 3,360,944 | 4,241,208 | 5,635,061 | 464,811 | (1,394,573) | (4,074,785) |
| Revenues | 5,517,385 | 9,591,489 | 9,366,956 | 5,278,300 | 8,795,300 | 7,995,000 | 8,695,000 |
| Expenditures | 5,824,412 | 7,217,675 | 6,829,678 | 9,053,322 | 8,947,275 | 8,947,275 | 8,947,275 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (309,044) | | | | |
| JS2475 11/15/2009 | | | (309,044) | | | | |
| JS3616 1/27/2010 | | | (263,554) | | | | |
| JS5948 5/31/2010 | | | (261,783) | | | | |
| Net Total Transfers 3/ | (1,421,698) | (1,493,550) | (1,143,425) | (1,395,228) | (1,707,409) | (1,727,937) | (1,727,937) |
| Ending Cash Balance | 3,360,944 | 4,241,208 | 5,635,061 | 464,811 | (1,394,573) | (4,074,785) | (6,054,997) |
| Encumbrances | 1,062,387 | 1,075,874 | 593,868 | | | | |
| Unencumbered Cash Balance | 2,298,557 | 3,165,334 | 5,041,193 | 464,811 | (1,394,573) | (4,074,785) | (6,054,997) |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Includes specific appropriation (Act 227, SLH 2007) for FY 08 and FY 09.

2/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B) submitted to B&F for executive decision.

3/ FY09 includes General Fund Loan of \$3,800,00 and repayment of general fund loan.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Loss Mitigation Grant Fund
 Legal Authority: Section 431:22-102, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-314-R

Intended Purpose:

A grant program to assist residents with installing wind resistive devices to protect their property against wind damage. Also provides grants for safe rooms for residents who may not be able to afford reinforcement of their entire home; protection against natural disasters.

Source of Revenues:

Appropriations out of the Hawaii Hurricane Relief Fund.

Current Program Activities/Allowable Expenses:

As allowed by §431:22-102, the funds are used to make loss mitigation grants; and to pay for any administrative and operational cost, including personnel cost and marketing costs, associated with a loss mitigation grant program. The program is not active.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling | 2,000,000 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 3,680,098 | 3,298,967 | 3,360,377 | 3,400,785 | 3,400,785 | 3,400,785 | 3,400,785 |
| Revenues | 164,478 | 61,410 | 40,408 | | | | |
| Expenditures | 545,609 | 0 | | | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance 1/ | 3,298,967 | 3,360,377 | 3,400,785 | 3,400,785 | 3,400,785 | 3,400,785 | 3,400,785 |
| Encumbrances | 63,398 | 63,398 | | | | | |
| Unencumbered Cash Balance | 3,235,569 | 3,296,979 | 3,400,785 | 3,400,785 | 3,400,785 | 3,400,785 | 3,400,785 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Act 192, SLH 2010 authorized the Director of Finance to transfer \$3,200,000 or so much thereof as may be necessary for FY11. As of 11/1/2010, the department has not received instructions from B&F regarding Act 192, SLH 2010. As such the FY11 estimated ending cash balance does NOT reflect the \$3,200,000 transfer to the general fund.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Captive Insurance Administrative Fund
 Legal Authority

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-317-R

Section 431:19-101.8, HRS, Act 261, 1997 SLH; Act 131, SLH 1999;
Act 1, 2005 Special Session; Act 213, SLH 2007; Act 158 SLH 2008

Intended Purpose:

The fund shall be expended by the Insurance Commissioner to carry out his/her duties and obligations under article 19 of chapter 431, HRS.

Source of Revenues:

All moneys collected from captive licensees pursuant to article 19, chapter 431, including premium taxes, application and annual licensing fees, examination fees, and other reimbursements.

Current Program Activities/Allowable Expenses:

Licensing, monitoring, regulation, development of captive insurance companies, and promotion of Hawaii as a captive insurance domicile pursuant to article 19, chapter 431, including defrayal of any administrative costs, employment or retention of hearings officers, attorneys, investigators, accountants, examiners, and other necessary professional, technical, and support personnel.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 2,016,120 | 2,371,120 | 2,434,480 | 2,381,171 | 2,434,480 | 2,434,480 | 2,434,480 |
| Beginning Cash Balance | 3,617,856 | 4,415,852 | 4,851,139 | 5,151,680 | 4,227,679 | 3,403,199 | 2,593,719 |
| Revenues | 2,506,743 | 1,795,404 | 1,522,709 | 1,510,000 | 1,610,000 | 1,625,000 | 1,645,000 |
| Expenditures | 1,708,747 | 1,360,117 | 1,222,168 | 2,434,001 | 2,434,480 | 2,434,480 | 2,434,480 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ending Cash Balance | 4,415,852 | 4,851,139 | 5,151,680 | 4,227,679 | 3,403,199 | 2,593,719 | 1,804,239 |
| Encumbrances | 324,210 | 51,431 | 52,830 | | | | |
| Unencumbered Cash Balance | 4,091,642 | 4,799,708 | 5,098,850 | 4,227,679 | 3,403,199 | 2,593,719 | 1,804,239 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Patient's Compensation Fund
 Legal Authority: Act 232, SLH 1984; Act 219, SLH 1976

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-912-R

Intended Purpose:

In 1976 this fund was established to provide doctors medical malpractice insurance for coverage in excess of their underlying policy from a commercial insurer.

Source of Revenues:

None. However, there are some paid claims with settlement agreements which required the claimant to return any unused cash after all of the payments required by the settlement agreement are satisfied.

Current Program Activities/Allowable Expenses:

The claims against the Fund exceed the available fund assets and as a result, the authority for this Fund, section 671, was repealed by Act 232, SLH 1984. The Act required the unpaid claims to be carried forward from year to year for possible payment as the Fund acquires additional assets for prorated distribution.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 4,005,290 | 4,196,175 | 4,273,375 | 4,324,804 | 0 | 0 | 0 |
| Revenues | 190,885 | 77,200 | 51,429 | 50,000 | | | |
| Expenditures | | | | 4,374,804 | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 4,196,175 | 4,273,375 | 4,324,804 | 0 | 0 | 0 | 0 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 4,196,175 | 4,273,375 | 4,324,804 | 0 | 0 | 0 | 0 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Premium Taxes Paid Pending Appeal
 Legal Authority: Sections 431:7-202, 431:7-209, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-916-R

Intended Purpose:

Premium taxes paid in protest due to denial of high tech tax credits.

Source of Revenues:

Premium taxes.

Current Program Activities/Allowable Expenses:

Pending result of appeal.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 0 | 1,400,000 | 1,400,000 | 1,400,122 | 1,400,000 | 1,400,000 | 1,400,000 |
| Revenues | 1,400,000 | 0 | 122 | | | | |
| Expenditures | 0 | 0 | | 122 | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | | | 0 | | | | |
| Ending Cash Balance | 1,400,000 | 1,400,000 | 1,400,122 | 1,400,000 | 1,400,000 | 1,400,000 | 1,400,000 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 1,400,000 | 1,400,000 | 1,400,122 | 1,400,000 | 1,400,000 | 1,400,000 | 1,400,000 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Commissioner's Education and Training Fund
 Legal Authority: Section 431:2-214, HRS; Act 348, SLH 1987

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No.: T-XX-917-R

Intended Purpose:

This fund is used for the education and training of Insurance Division staff and personnel, and to pay for the cost of consumer education and information.

Source of Revenues:

Fees for rate and form filings.

Current Program Activities/Allowable Expenses:

Reimburse staff and personnel for various education and training expenses, including insurance and computer courses, conferences, and seminars. Publish annually, an insurer's automobile insurance premium comparison and the Report of the Insurance Commissioner for consumer information. Presentations of insurance information to Hawaii consumers. Purchase of books and periodicals for staff education and training.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 |
| Beginning Cash Balance | 329,575 | 425,447 | 528,554 | 667,224 | 677,224 | 687,224 | 697,224 |
| Revenues | 178,672 | 162,464 | 169,963 | 160,000 | 160,000 | 160,000 | 160,000 |
| Expenditures | 82,800 | 59,357 | 31,293 | 150,000 | 150,000 | 150,000 | 150,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 425,447 | 528,554 | 667,224 | 677,224 | 687,224 | 697,224 | 707,224 |
| Encumbrances | 408 | 4,965 | 920 | | | | |
| Unencumbered Cash Balance | 425,039 | 523,589 | 666,304 | 677,224 | 687,224 | 697,224 | 707,224 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Service Contract Provider's Fin Sec Dep
 Legal Authority: Section 481X-4, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No. T-XX-927-R

Intended Purpose:

The fund will hold financial security deposits placed in trust with the Commissioner by service contract providers for all service contracts issued and in force in this State.

Source of Revenues:

Financial security deposits from service contract providers placed in trust with the Insurance Commissioner.

Current Program Activities/Allowable Expenses:

Current activities include the issuance and renewal of service contract providers registration.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 |
| Revenues | | | | | | | |
| Expenditures | | | | | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | | | | | | | |
| Ending Cash Balance | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 | 25,000 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Captive Insurance Companies LOC Escrow
 Legal Authority: Section 431:19-104(b), HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No.: T-XX-931-R

Intended Purpose:

The fund shall be used to maintain cash drawn from Letters of Credit (LOC) issued on behalf of captive insurance licensees and in favor of the Insurance Commissioner.

Source of Revenues:

Cash draw from Letter of Credits (LOC) issued on behalf of captive licensees.

Current Program Activities/Allowable Expenses:

The Commissioner may draw upon the LOC when the captive licensee is not in compliance with the provisions of article 19 of chapter 431, including but not limited to its minimum capital and surplus requirements, applicable investment provisions, or otherwise in adverse financial condition, or operating in a manner that is detrimental or its condition unsound with respect to the public or to its policyholders. The cash drawn from the LOC is used to cover liabilities and other obligations of the captive licensee, including policy holder claims, operating expenses, taxes, fees, fines, and other expenses.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 467 | 485 | 495 | 500 | 500 | 500 | 500 |
| Revenues | 18 | 10 | 5 | | | | |
| Expenditures | | | | | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 485 | 495 | 500 | 500 | 500 | 500 | 500 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 485 | 495 | 500 | 500 | 500 | 500 | 500 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Insurance Division Restitution
 Legal Authority: Section 431:2-203, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-928-R

Intended Purpose:

The fund will hold deposits placed in trust with the Commissioner by defendants from an enforcement action brought by the Insurance Division. If the defendant does not comply with the terms of the settlement agreement, the Insurance Division then has the power to use these funds to provide restitution to the complainants involved.

Source of Revenues:

Deposits from defendants pursuant to a settlement agreement.

Current Program Activities/Allowable Expenses:

Pending compliance with terms of settlement agreement.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Revenues | | | 0 | 50,000 | | | |
| Expenditures | | | 0 | 50,000 | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | | | | | | | |
| Ending Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: DCCA-Insurance Division
Prog ID(s): CCA-106
Name of Fund: Hawaii Hurricane Relief Fund
Legal Authority: Chapter 431P, HRS

Contact Name: Lloyd Lim
Phone: 808-587-6744
Fund type (MOF) T
Appropriation Acct. No. T999R

Intended Purpose: Provide hurricane insurance in the event that such coverage is unavailable in the private insurance market.

Source of Revenues: Investment income.

Current Program Activities/Allowable Expenses: Program activities - investments. Allowable expenses - financial services and management expenses.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-------------|-------------------|-------------------|--------------|-------------|-------------|-------------|
| A/ | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | | | | | | | |
| Beginning Fund Balance | 181,676,672 | 184,525,900 | 187,977,259 | 188,190,997 | 120,990,997 | 120,790,997 | 120,590,997 |
| Revenues | 10,817,159 | 9,934,242 | 6,024,348 | 5,200,000 | 5,200,000 | 5,200,000 | 5,200,000 |
| Expenditures | (220,060) | (189,681) | (197,782) | (200,000) | (200,000) | (200,000) | (200,000) |
| Transfer to DOE | | | | (67,000,000) | | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| Accrd Interest paid | (7,747,871) | /4 (6,293,202) | /5 (5,612,828) | (5,200,000) | | | |
| Net Total Transfers | (7,747,871) | (6,293,202) | (5,612,828) | (5,200,000) | (5,200,000) | (5,200,000) | (5,200,000) |
| Ending Fund Balance B/ | 184,525,900 | 187,977,259 | 188,190,997 | 120,990,997 | 120,790,997 | 120,590,997 | 120,390,997 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 184,525,900 | 187,977,259 | 188,190,997 | 120,990,997 | 120,790,997 | 120,590,997 | 120,390,997 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

A/ = Prepared on the accrual basis of accounting as required by the Governmental Accounting Standards Board for Enterprise Funds.

B/ = See attached reconciliation

1/ = trsf of funds made in FYE 06/30/10

2/ = trsf of funds made in FYE 06/30/11

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-110
 Name of Fund: CRF-Office Of Consumer Protection
 Legal Authority: Section 487-2, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No.: S-XX-323-R

Intended Purpose:

To protect Hawaii consumers utilizing investigative resources, civil enforcement actions and consumer education.

Source of Revenues:

Penalties or fines assessed as a result of actions brought by OCP, and penalties, fines, or reimbursement of costs or attorneys' fees assessed as a result of actions brought for violations of chapters 480 and 487 HRS.

Current Program Activities/Allowable Expenses:

OCP receives and investigates consumer complaints, provides consumer education to the public through oral presentations and the dissemination of consumer literature, and enforces consumer protection laws through legal process coordinated by its attorneys.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 1,600,284 | 1,600,284 | 1,573,840 | 1,461,378 | 1,573,840 | 1,573,840 | 1,573,840 |
| Beginning Cash Balance | 556,549 | 1,824,630 | 1,202,752 | 685,325 | 527,128 | 527,128 | 527,128 |
| Revenues | 1,706,590 | 1,417,494 | 747,231 | 317,000 | 317,000 | 317,000 | 317,000 |
| Expenditures 1/ | 1,378,750 | 2,312,228 | 1,303,358 | 1,471,027 | 1,573,840 | 1,573,840 | 1,573,840 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | 134,540 | | | | |
| JS2475 11/15/2009 | | | 134,540 | | | | |
| JS3616 1/27/2010 | | | (115,190) | | | | |
| JS5948 5/31/2010 | | | (115,190) | | | | |
| Net Total Transfers | 940,241 | 272,856 | 38,700 | 995,830 | 1,256,840 | 1,256,840 | 1,256,840 |
| Ending Cash Balance | 1,824,630 | 1,202,752 | 685,325 | 527,128 | 527,128 | 527,128 | 527,128 |
| Encumbrances | 22,574 | 24,256 | 9,649 | | | | |
| Unencumbered Cash Balance | 1,802,056 | 1,178,496 | 675,676 | 527,128 | 527,128 | 527,128 | 527,128 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Expenditures for FY09 includes \$900,000 to the general fund pursuant to Act 79, SLH 2009.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-110
 Name of Fund: OCP Restitution Fund
 Legal Authority: Section 487:14(c), HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-XX-920-R

Intended Purpose:

To hold and disburse moneys received or recovered by the Office of Consumer Protection which are due to consumers as restitution.

Source of Revenues:

Consumer restitution paid by respondents and disbursed by OCP pursuant to settlement or court order.

Current Program Activities/Allowable Expenses:

We are continuing to collect and distribute restitution payments from this account pursuant to appropriate court orders and judgments.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling increase reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Increases the trust fund ceiling to process consumer restitution. (FY12: \$50,000; FY 13: \$50,000)

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling 1/ | 50,681 | 50,681 | 50,681 | 50,681 | 100,681 | 100,681 | 100,681 |
| Beginning Cash Balance | 116,580 | 124,979 | 133,379 | 141,779 | 91,779 | 0 | 0 |
| Revenues | 43,157 | 8,900 | 58,400 | | | | |
| Expenditures | 34,758 | 500 | 50,000 | 50,000 | 91,779 | | |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 124,979 | 133,379 | 141,779 | 91,779 | 0 | 0 | 0 |
| Encumbrances | | | | | | | |
| Unencumbered Cash Balance | 124,979 | 133,379 | 141,779 | 91,779 | 0 | 0 | 0 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-111
 Name of Fund: Compliance Resolution Fund - Business Registration
 Legal Authority: Section 26-9, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No.: S-XX-306-R

Intended Purpose:

To fund the operations of the Business Registration Division.

Source of Revenues:

Chapters 414, 414D, 415A, 417E, 419, 421, 421C, 421I, 423, 424, 425, 425E, 428, and 482, HRS. - Business registration fees: Corporation, partnership, limited liability company and cooperative registration fees and trademark, trade name, service mark, publicity right filing fees.

Chapter 482E - Franchise filing fees.

Chapter 485A - Securities fees and penalties: Securities, broker-dealer, salesperson, investment adviser and investment adviser representative filing fees and penalty fees for securities law violations.

Current Program Activities/Allowable Expenses:

Register and maintain the registry for public access for corporations, partnerships, limited liability companies, cooperatives, trademarks, trade names, service marks and publicity rights. Help the public in their business registration filings through business centers that offer assistance in facilitating, coordinating and expediting filings. Review and approve filing applications and investigate, prosecute and enforce substantive regulatory compliance pursuant to State securities and franchise filing laws.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-------------|-------------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 6,440,207 | 6,505,207 | 6,709,851 | 6,295,310 | 6,649,240 | 6,649,240 | 6,649,240 |
| Beginning Cash Balance | 6,820,842 | 7,293,925 | 6,305,141 | 9,311,491 | 9,556,039 | 11,437,925 | 13,304,554 |
| Revenues | 7,221,315 | 6,774,442 | 8,816,269 | 7,732,000 | 9,800,000 | 9,800,000 | 9,800,000 |
| Expenditures | 5,504,266 | 6,612,570 | 4,988,785 | 6,449,159 | 6,649,240 | 6,649,240 | 6,649,240 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (226,137) | | | | |
| JS2475 11/15/2009 | | | (226,137) | | | | |
| JS3616 1/27/2010 | | | (188,981) | | | | |
| JS5948 5/31/2010 | | | (179,879) | | | | |
| Net Total Transfers | (1,243,966) | (1,150,656) | (821,134) | (1,038,293) | (1,268,874) | (1,284,131) | (1,284,131) |
| Ending Cash Balance 2/ | 7,293,925 | 6,305,141 | 9,311,491 | 9,556,039 | 11,437,925 | 13,304,554 | 15,171,183 |
| Encumbrances | 418,439 | 243,633 | 153,849 | | | | |
| Unencumbered Cash Balance | 6,875,486 | 6,061,508 | 9,157,642 | 9,556,039 | 11,437,925 | 13,304,554 | 15,171,183 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Expenditures for FY09 includes \$1,100,00 to the general fund pursuant to Act 79, SLH 2009.

2/ Act 192, SLH 2010 authorized the Director of Finance to transfer \$1,500,000 or so much thereof as may be necessary for FY11. As of 11/1/2010, the department has not received instructions from B&F regarding Act 192, SLH 2010. As such the FY10 estimated ending cash balance does NOT reflect the \$1,500,000 transfer to the general fund.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-112
 Name of Fund: Compliance Resolution Fund - RICO
 Legal Authority: Section 26-9(o), HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-312-R

Intended Purpose:

Complaints receipt, mediation, arbitration, investigation, and prosecution of matters in areas for which a license, registration or certificate is required from the Department or its boards, commissions or regulatory programs.

Source of Revenues:

Compliance Resolution Fund fee; penalties and fines collected; interest earned on fund balances.

Current Program Activities/Allowable Expenses:

Complaints receipt, mediation, investigation, complaint resolution and prosecution related to licenses, registrations or certificates required from the Department or its boards, commissions or programs.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling change reflects the departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision:

- Converts 1 temporary position to 1 permanent position. (FY12: 1.00 permanent position, -1.00 temporary position; FY 13: 1.00 permanent position, -1.00 temporary position)

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling 1/ | 5,253,047 | 5,317,369 | 5,579,836 | 5,231,770 | 5,579,836 | 5,579,836 | 5,579,836 |
| Beginning Cash Balance | 7,298,743 | 6,438,881 | 6,558,263 | 6,208,806 | 5,118,599 | 3,063,963 | 1,696,524 |
| Revenues | 4,669,545 | 6,014,689 | 4,830,795 | 5,040,000 | 4,590,000 | 5,290,000 | 4,990,000 |
| Expenditures | 4,515,302 | 4,966,430 | 4,504,011 | 5,267,325 | 5,579,836 | 5,579,836 | 5,579,836 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | (187,918) | | | | |
| JS2475 11/15/2009 | | | (187,918) | | | | |
| JS3616 1/27/2010 | | | (154,277) | | | | |
| JS5948 5/31/2010 | | | (146,128) | | | | |
| Net Total Transfers | (1,014,105) | (928,877) | (676,241) | (862,882) | (1,064,800) | (1,077,603) | (1,077,603) |
| Ending Cash Balance | 6,438,881 | 6,558,263 | 6,208,806 | 5,118,599 | 3,063,963 | 1,696,524 | 29,085 |
| Encumbrances | 160,137 | 42,874 | 35,555 | | | | |
| Unencumbered Cash Balance | 6,278,744 | 6,515,389 | 6,173,251 | 5,118,599 | 3,063,963 | 1,696,524 | 29,085 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Form B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-112
 Name of Fund: State Certified Motor Vehicle Arbitration Fund
 Legal Authority: Chapter 4811, HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No.: T-XX-915-R

Intended Purpose:

Administration of the State Certified Motor Vehicle Arbitration Program (Lemon Law) created pursuant to Chapter 4811, HRS.

Source of Revenues:

Filing fees paid by vehicle manufacturers and consumers.

Current Program Activities/Allowable Expenses:

Implementation and administration of the State Certified Arbitration Program (Lemon Law) created pursuant to Chapter 4811, HRS.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|----------|----------|----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 141,384 | 140,248 | 139,465 | 140,311 | 140,311 | 140,311 | 140,311 |
| Revenues | 5,025 | 4,950 | 2,200 | 3,000 | 3,000 | 3,000 | 3,000 |
| Expenditures | 6,161 | 5,733 | 1,354 | 3,000 | 3,000 | 3,000 | 3,000 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ending Cash Balance | 140,248 | 139,465 | 140,311 | 140,311 | 140,311 | 140,311 | 140,311 |
| Encumbrances | 100 | | | | | | |
| Unencumbered Cash Balance | 140,148 | 139,465 | 140,311 | 140,311 | 140,311 | 140,311 | 140,311 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-191
 Name of Fund: Compliance Resolution Fund
 Legal Authority: Section 26-9(o), HRS

Contact Name: Karen Lim
 Phone: 586-2841
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No. S-XX-310-R,S-XX-398-R

Intended Purpose:

To enhance program effectiveness and efficiency by providing direction and general support services.

Source of Revenues:

Administrative fee from M CCP claim fees pursuant to HRS §671-11(d), publication/copy fees.

Current Program Activities/Allowable Expenses:

See attached.

Purpose of Proposed Ceiling Increase (if applicable):

Proposed ceiling change reflects the departmental FB 2011-2013 budget request (on Forms B & B-1) submitted to B&F for executive decision:

- Trade-off (Transfer-out) 1 temporary position count and ceiling to CCA106. (FY12: -1.00 temporary position and -\$64,697; FY13: -1.00 temporary position and -\$64,697)
- Increases ceiling in FY13 to cover estimated DAGS Central Services costs. (FY13: \$51,920)
- Increases ceiling to purchase equipment. (FY12: \$115,600; FY13: \$149,000)

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling 1/ | 5,516,080 | 5,714,830 | 5,953,460 | 5,823,384 | 6,163,469 | 6,248,789 | 6,248,789 |
| Beginning Cash Balance | 1,723,848 | 2,309,792 | 3,067,564 | 2,825,144 | 1,640,779 | 1,315,763 | 985,161 |
| Revenues | 690,546 | 504,714 | 383,218 | 430,229 | 430,229 | 430,229 | 430,229 |
| Expenditures | 5,147,737 | 5,164,244 | 4,855,195 | 5,950,290 | 6,163,469 | 6,248,789 | 6,248,789 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| JS1416 9/15/2009 | | | 998,422 | | | | |
| JS2475 11/15/2009 | | | 998,422 | | | | |
| JS3616 1/27/2010 | | | 1,122,357 | | | | |
| JS5948 5/31/2010 | | | 1,110,356 | | | | |
| Net Total Transfers | 5,043,135 | 5,417,302 | 4,229,557 | 4,335,696 | 5,408,224 | 5,487,958 | 5,487,958 |
| Ending Cash Balance | 2,309,792 | 3,067,564 | 2,825,144 | 1,640,779 | 1,315,763 | 985,161 | 654,559 |
| Encumbrances | 287,141 | 221,180 | 126,906 | | | | |
| Unencumbered Cash Balance | 2,022,651 | 2,846,384 | 2,698,238 | 1,640,779 | 1,315,763 | 985,161 | 654,559 |

Additional Information:

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

1/ Appropriation ceiling for FY12 and outyears reflects departmental FB 2011-2013 budget request (on the Forms B & B-1) submitted to B&F for executive decision.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

DCCA Non-General Fund Information - Compliance Resolution Fund (S-310-R,S-398-R)

Page 2

Current Program Activities/Allowable Expenses:

Provide general policy and administrative leadership, supervision and coordination of the various programs of the department. Provide individual programs with financial resources, budgetary direction and control necessary for their operation. Assist individual programs with the supply, development and maintenance of the human resources necessary for staffing their operations. Provide Director with staff assistance in the direction and supervision of the operating division; and provide centralized clerical services and relief necessary to support and supplement the operating division. Plans, directs and coordinates the department's internal and external communications through the sharing and transfer of the information via various mediums. Directs the development, implementation and maintenance of computerized information systems capable of communicating and sharing data and information internally and externally. Administers a program for informed consumerism through the sharing and transfer of information departmentally and statewide.

Provide specialized staff support to all divisions and boards by conducting hearings, as required, to ensure impartial and informed treatment in resolving consumer complaints; and provide a means for prompt and fair disposition or settlement of medical tort claims or claims of professional negligence against an engineer, architect or surveyor licensed under Chapter 464, HRS.

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-191
 Name of Fund: Electric Vehicle Rebate Program
 Legal Authority: Non-appropriated: (ARRA, Transportation Energy
Diversification Project, State Energy Program-DBEDT).

Contact Name: Meoh-Leng Silliman
 Phone: 586-2844
 Fund type (MOF) Federal Stimulus Funds (V)
 Appropriation Acct. No. S-11-202-R

Intended Purpose:

American Recovery and Reinvestment Act of 2009 (ARRA) funds awarded to the Department of Business, Economic Development, and Tourism (DBEDT) for the purpose of carrying out the Transportation Energy Diversification Project (Project) under the State Energy Program (SEP). The Electric Vehicle Rebate Program is to help accelerate the adoption of electric vehicles (EV) in Hawaii. The Department of Commerce and Consumer Affairs (DCCA) to administer the EV Rebate Program for DBEDT.

Source of Revenues:

Federal grant through the U.S. Department of Energy (USDOE).

Current Program Activities/Allowable Expenses:

A total of \$1,000,000 has been budgeted for a rebate program for electric vehicles and charging equipment. Rebates may be claimed by Hawaii residents, businesses, government agencies, and nonprofit entities following the initial purchase in Hawaii of new, commercially available electric vehicles for use in Hawaii and for the purchase and installation in Hawaii of commercially available Electric Vehicle Supply Equipment (EVSE, also known as electric vehicle charging equipment or units). Only commercially available technologies are eligible for the rebate. To be eligible for the rebate, vehicles must be on the list of vehicles approved by the Internal Revenue Service (IRS) for the Qualified Plug-in Electric Drive Motor Vehicle Credit. Electric Vehicle Supply Equipment (EVSE) must be tested and certified by a Nationally Recognized Testing Laboratory to be eligible to receive rebates.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|---------------------|---------------------|---------------------|------------------------|------------------------|------------------------|------------------------|
| | FY 2008 (actual) | FY 2009 (actual) | FY 2010 (actual) | FY 2011 (estimated) | FY 2012 (estimated) | FY 2013 (estimated) | FY 2014 (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Revenues | 0 | 0 | 0 | 1,000,000 | 0 | 0 | 0 |
| Expenditures | 0 | 0 | 0 | 1,000,000 | 0 | 0 | 0 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ending Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Encumbrances | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Unencumbered Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |

Report on Non-General Fund Information
for Submittal to the 2011 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): _____
 Name of Fund: Temporary Deposits
 Legal Authority: _____

Contact Name: Kay Okimoto
 Phone: 586-2831
 Fund type (MOF) Temporary Deposits
 Appropriation Acct. No. T-XX-902-R

Intended Purpose:

The fund was established by DCCA to account for temporary deposits. Moneys deposited in this fund may be later transferred to the appropriate fund.

Source of Revenues:

Various revenue sources (e.g., Moneys for the Medical Claims Conciliation Panel, Design Claims Conciliation Panel, & Hawaii Joint Underwriting Plan are deposited into this account, and when an invoice is received it is paid out from this account).

Current Program Activities/Allowable Expenses:

See above information.

Purpose of Proposed Ceiling Increase (if applicable):

| Financial Data | | | | | | | |
|---------------------------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|
| | FY 2008 | FY 2009 | FY 2010 | FY 2011 | FY 2012 | FY 2013 | FY 2014 |
| | (actual) | (actual) | (actual) | (estimated) | (estimated) | (estimated) | (estimated) |
| Appropriation Ceiling | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Beginning Cash Balance | 1,997,736 | 1,167,830 | 1,985,552 | 1,367,742 | 1,926,112 | 1,481,538 | 2,081,863 |
| Revenues | 1,193,434 | 1,960,790 | 1,683,881 | 1,822,750 | 1,677,606 | 1,807,005 | 1,710,981 |
| Expenditures | 2,023,340 | 1,143,068 | 2,301,691 | 1,264,380 | 2,122,180 | 1,206,680 | 2,155,555 |
| Transfers | | | | | | | |
| List each by JV# and date | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Net Total Transfers | 0 | 0 | 0 | | | | |
| Ending Cash Balance | 1,167,830 | 1,985,552 | 1,367,742 | 1,926,112 | 1,481,538 | 2,081,863 | 1,637,289 |
| Encumbrances | 1,463 | 27,426 | 2,700 | | | | |
| Unencumbered Cash Balance | 1,166,367 | 1,958,126 | 1,365,042 | 1,926,112 | 1,481,538 | 2,081,863 | 1,637,289 |

Additional Information:

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| Amount Req. for Bond Conveyance | | | | | | | |
| Amount from Bond Proceeds | | | | | | | |
| Amount Held in CODs, Escrow Accounts, or Other Investments | | | | | | | |